

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>		Application Number	10/756,972
		Filing Date	January 13, 2004
		First Named Inventor	Shaoher X. Pan
		Group Art Unit Number	Not Yet Known
		Examiner Name	Not Yet Known
Total Number of Pages in This Submission	6*	Attorney Docket Number	23340-08600

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Attorney/Reg. No.:	Jennifer R. Johnson, Reg. No. 50,784	Dated:	2/20/04

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Shaohar X. Pan, Dongmin Chen, Xiao Yang and Shoucheng Zhang  
APPLICATION NO.: 10/756,972  
FILING DATE: January 13, 2004  
TITLE: Architecture of a Reflective Spatial Light Modulator  
EXAMINER: Not Yet Known  
GROUP ART UNIT: Not Yet Known  
ATTY. DKT. NO.: 23340-08600

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By: Jennifer Johnson, Reg. No.: 50,784

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**INFORMATION DISCLOSURE STATEMENT**

**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this

certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. APPLICATION NO., filed on DATE FILED, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

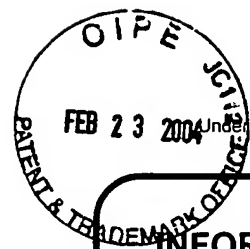
Respectfully submitted,  
SHAOHER X. PAN, ET AL.

Dated: \_\_\_\_\_

2/20/04

By: \_\_\_\_\_

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/756,972
Filing Date	January 13, 2004
First Named Inventor	Shaoher X. Pan
Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Attorney Docket Number	23340-08600

Sheet 1 of 2

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number - Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		US-6,538,800	03-25-2003	Huibers
		US-6,429,033	08-06-2002	Gee, et al.
		US-2002/0071169	06-13-2002	Bowers, et al.
		US-2002/0071166	06-13-2002	Jin, et al.
		US-6,396,619	05-28-2002	Huibers, et al.
		US-6,388,661	05-14-2002	Richards
		US-2002/0041455	04-11-2002	Sawada, et al.
		US-6,356,378	03-12-2002	Huibers
		US-6,337,760	01-08-2002	Huibers, et al.
		US-6,172,797	01-09-2001	Huibers
		US-6,046,840	04-04-2000	Huibers
		US-6,038,056	03-14-2000	Florence, et al.
		US-5,999,306	12-07-1999	Atobe, et al.
		US-5,835,256	11-10-1998	Huibers
		US-5,757,536	05-26-1998	Ricco, et al.
		US-5,742,419	04-21-1998	Dickensheets, et al.
		US-5,661,591	08-26-1997	Lin, et al.
		US-5,535,047	07-09-1996	Hornbeck
		US-5,504,614	04-02-1996	Webb, et al.
		US-5,452,024	09-19-1995	Sampsell
		US-5,311,360	05-10-1994	Bloom, et al.
		US-4,615,595	10-07-1986	Hornbeck
		US-4,566,935	01-28-1986	Hornbeck
		US-4,317,611	03-02-1982	Petersen
		US-4,229,732	10-21-1980	Hartstein, et al.

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

23340/08600/DOCS/1411545.1

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Complete if Known</b>	
				Application No.	10/756,972
				Filing Date	January 13, 2004
				First Named Inventor	Shaohar X. Pan
				Art Unit	Not Yet Known
				Examiner Name	Not Yet Known
Sheet	2	of	2	Attorney Docket Number	23340-08600

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
		EP 1237032 A2	09-04-2002	Texas Instruments Incorporated	

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>	
		HENLEY , FRANCOIS J. AND CURRENT, MICHAEL I., "A New SOI Manufacturing Technology Using Atomic Layer Cleaving," Silicon Genesis Corporation, Campbell, CA, pp. 1-5.		
		PETERSEN, K.E., Micromechanical Light Modulator Array Fabricated On Silicon, Applied Physics Letters, 15 October 1977, pp. 521-523, Vol. 31, No. 8.		

Examiner Signature		Date Considered	
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